

# Ground Hog Day

Why do we make  
the same mistakes  
every year?





# Response Exercise Program Improvements Process Exercise Guidance Workshop HSEEP Fundamentals

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# HSEEP FUNDAMENTALS



## HSEEP Overview

- 1 – Introduction
- 2 – Types of Exercises
- 3 – Exercise Program Management
- 4 – Exercise Project Management
- 5 – Design and Development
- 6 – Conduct
- 7 – Evaluation
- 8 – Improvement Planning

## Practical Exercise

- 1 – Exercise Planning Team
- 2 – Design and Development
- 3 – Exercise Conduct
- 4 – Evaluation
- 5 – Improvement Planning

# Comments From Visioning Session

- \* My concern is the depth of HSEEP and whether NPREP and HSEEP are compatible or would it require huge effort to manage and document. (#724 | Refined Product Facilities)**
- \* HSEEP and NPREP are completely compatible. HSEEP is a great tool to use to execute an NPREP exercise. (#760 | Crude Oil Facilities)**
- \* My concern is that it is so prescriptive and wouldn't allow for experimentation. (#753 | State and Federal Agencies)**

# Comments From Visioning Session

- \* There needs to be more education on this program.  
(#738 | Other Drill and Exercise Stakeholders)**
- \* Suggest ADEC provide a workshop on the subject.  
(#759 | Refined Product Facilities)**

# What is HSEEP?

- \* A methodical approach to exercise project and program management
- \* Tools and resources to build and maintain an exercise program
- \* Standardized terminology and methodologies for exercise program and project management.
- \* SCALABLE
- \* Recommended best practice for conducting exercises



## Emergency Response Exercise Best Practice

### Task 6 Final Report

*Summary of Best Practices and Innovative Approaches for Exercise Design, Conduct and Evaluation*

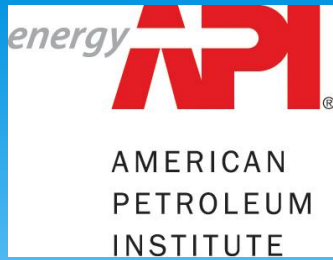
May 11, 2015

“Several U.S. federal agencies have exercise programs that stand out as **innovative and best practice**. Most of these programs make use of HSEEP.”

“HSEEP is **comprehensive and forward-looking**... demonstrates multiple best practice features.”

Study recommends that BSEE retain PREP for the regulatory component of their exercise program, but move to an HSEEP model for performance-based exercises.





# Guidelines for Oil Spill Response Training and Exercise Programs

Guidance for Spill Management Teams and Oil Spill Responders

**API Multi-Year Oil Spill Response Training and Exercise Program** “seeks to incorporate the **best elements of HSEEP, PREP, industry best practices and international guidance** into a guideline that can be implemented by **organizations of any size and type** with oil spill response responsibilities.



## Good practice guidelines for the development of an effective exercise programme

IPIECA



### Oil spill exercises

Good practice guidelines for the development of an effective exercise programme



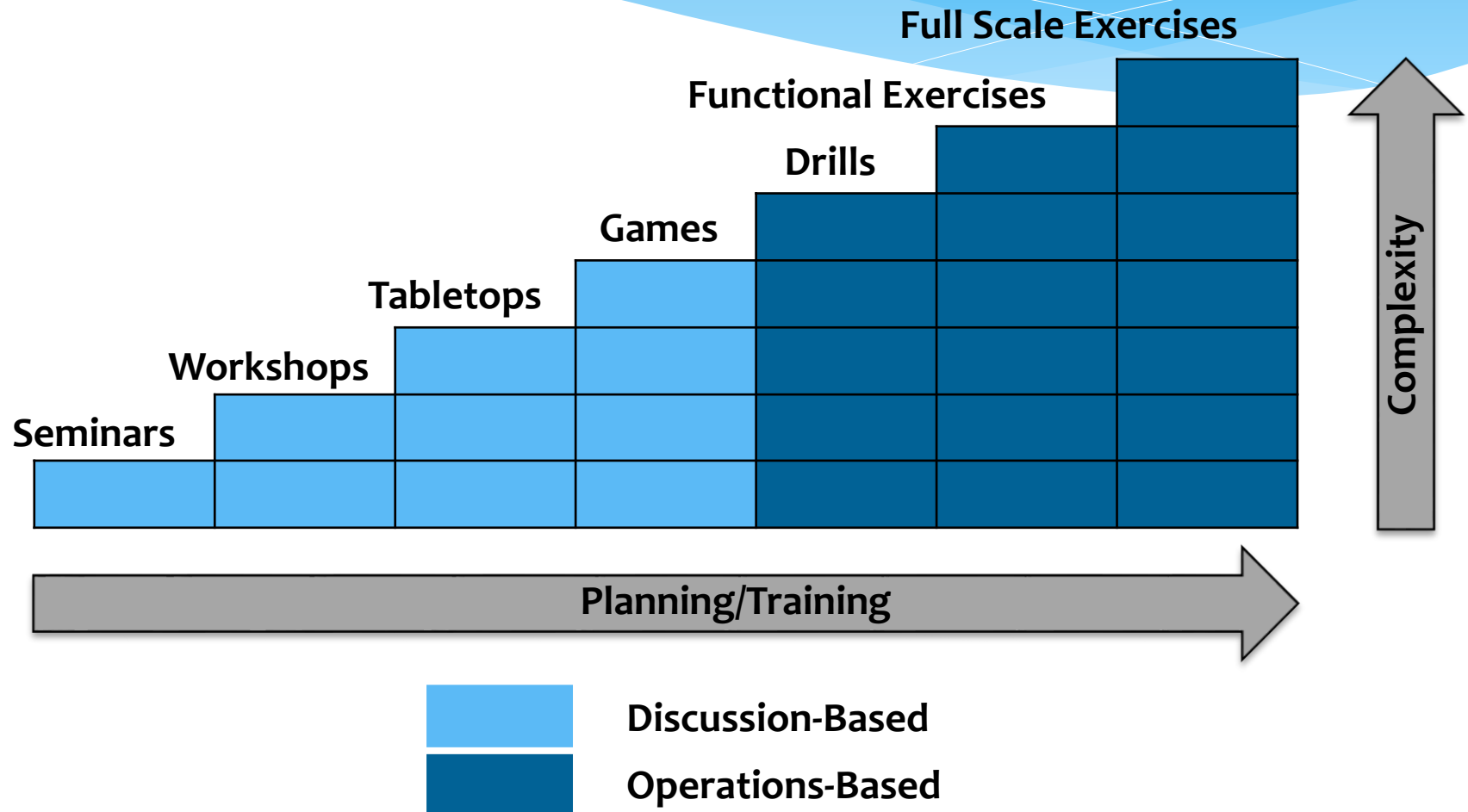
# What HSEEP is Not

- \* Prescriptive. In the 2013 HSEEP Manual:
  - \* “Shall” appears 0 times
  - \* “Must” appears 15 times
  - \* “May” appears 81 times
  - \* “Should” appears 202 times
- \* An alternative to PREP or the ADEC Exercise Program

**Some plan holders have adopted Homeland Security Exercise and Evaluation Program (HSEEP) exercise design guidance for OPA 90 exercises. The use of HSEEP planning process is acceptable, but not required, for planning PREP exercises.**

**- 2016 National PREP Guidelines**

# Building Block Approach



# HSEEP Exercise Categories

## Discussion-Based Exercises

- \* Forum for discussing or developing plans, agreements, training and procedures
- \* Less complicated than operations based exercises
- \* Focus on strategic, policy oriented issues
- \* Do not involve deployment of resources
- \* Includes:
  - \* Seminars
  - \* Workshops
  - \* Tabletops
  - \* Games



# HSEEP Exercise Categories



**Seminar** – Informal discussion-based exercise led by a presenter, used to teach participants

# HSEEP Exercise Categories



**Workshops** – Informal discussion-based exercise led by a presenter, used to build or achieve a product



# HSEEP Exercise Categories



**Tabletop Exercises** – Informal group discussion of various issues regarding a hypothetical scenario.



# HSEEP Exercise Categories



**Games** – Simulation of operations using rules, data and procedures designed to depict an actual or assumed real life situation.

# HSEEP Exercise Categories

## Operations-Based Exercises

- \* Involves deployment of resources and personnel
- \* More complex than discussion-based exercises
- \* Require execution of plans, policies, procedures
- \* Clarify roles and responsibilities
- \* Improve individual and team performances.
- \* Includes:
  - \* Drills
  - \* Functional exercises
  - \* Full-scale exercises



# HSEEP Exercise Categories



**Drills** – Supervised action that tests a specific operation or function of a single agency



# HSEEP Exercise Categories



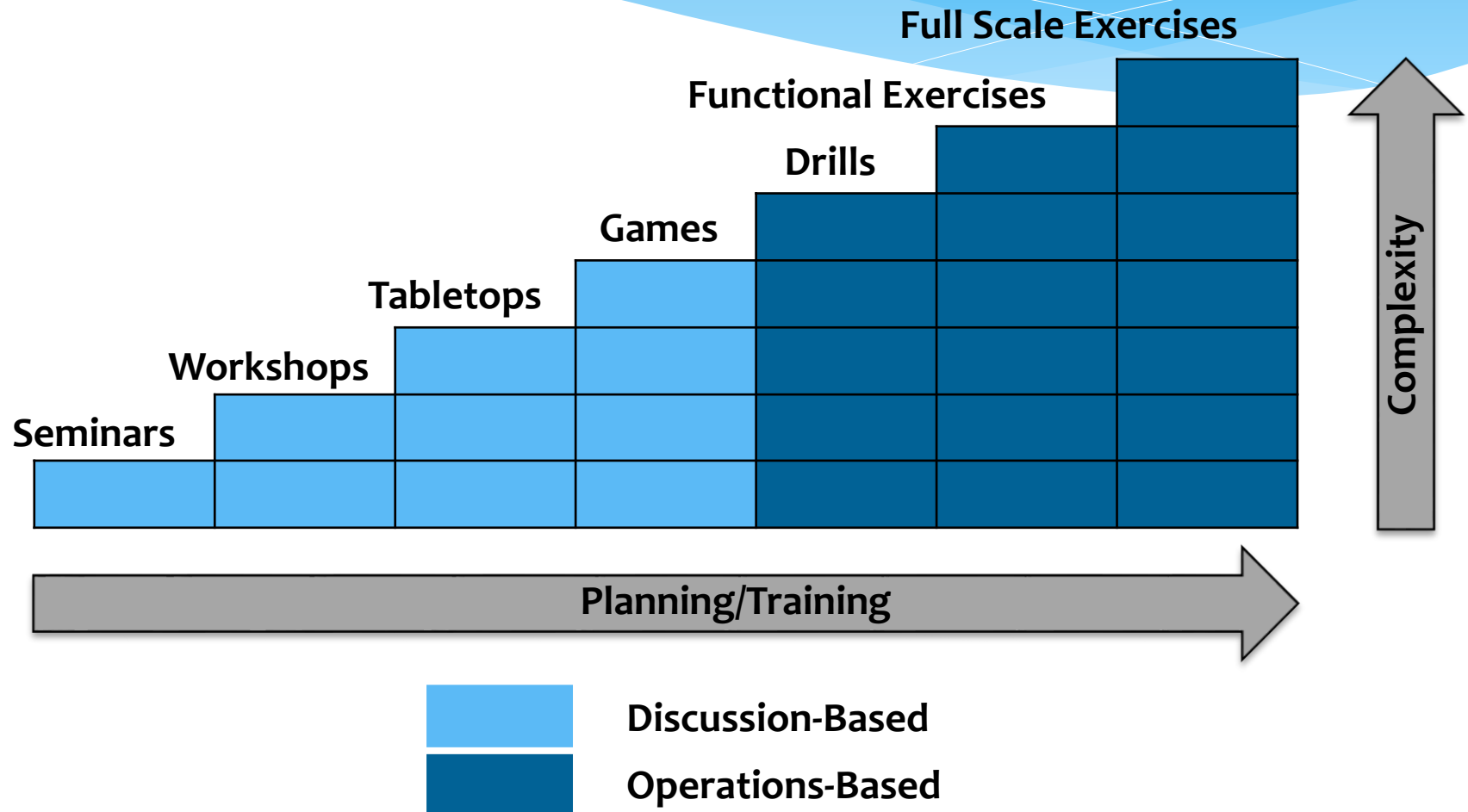
**Functional Exercises** - Single or multi-agency activity designed to evaluate capabilities and multiple functions using a simulated response

# HSEEP Exercise Categories



**Full-Scale Exercise** - Multi agency, multi jurisdictional activity involving actual deployment of resources in a coordinated response, as if a real incident had occurred

# Building Block Approach



# Components of HSEEP

- \* **Exercise program management**
  - \* Coordination of multiple exercises
- \* **Exercise project management**
  - \* Coordination of an individual exercise





# Exercise Program Management

- \* Strategy and structure for an exercise program
  - \* Determining priorities
- \* Schedule planning
  - \* Multiyear training and exercise plan
- \* Feedback/Tracking improvements
  - \* Lessons learned
  - \* Improvement plans
- \* Budgeting and grant writing
- \* Engaging elected and appointed officials



# Multiyear Training and Exercise Plan

- \* Assess current program plans and capabilities
- \* Set long-term program goals and objectives
- \* Develop a mix of exercises to meet goals and objectives
- \* Determines what training is needed to support planned exercises
- \* Sets a multiyear schedule



# Multiyear Training and Exercise Workshop

- \* Annual meeting
- \* Key exercise stakeholders from industry, non governmental organizations and all levels of government
- \* Implements long term strategy for building capabilities
- \* Develop multi-year schedule of exercise events
  - \* Progressive approach of increasingly complex exercises



# Multiyear Training and Exercise Plan



## State of Alaska

Division of Homeland Security & Emergency Management

Multi-year Training and Exercise Plan 2015 - 2017

### Multi-year Training and Exercise Plan (TEP)

State of Alaska

### State of Alaska Multi-year Training and Exercise Schedule 2015

Organization	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
State of Alaska	<b>DHS&amp;EM</b> Alaska Shield 2016 Initial Planning, Feb. 24, 25, 26 with MGT 385 Training SEOC Quarterly Training SEOC Tsunami Call Out (Community Communications Exercise)  <b>DHSS</b> Pills to Polar Bears Exercise Homer Rock in a Hard Place Exercise  <b>UAA</b> Continuing monthly training  <b>Community Requested T &amp; E</b> <b>Cordova</b> ICS trainings Cordova Responder Ready Cordova Debris Management TTX  <b>Anchorage</b> EOC TTX - extreme weather EOC TTX - wildfire PIO Training  <b>Fairbanks Borough</b> Monthly EOC training PIO and Debris Management Training Local Hazard Mitigation Planning Post EQ Damage Assessment Training  <b>Fairbanks City</b> COOP Training/TTX TBD 2015 Fatality Management TBD 2015 City Staff Training TBD 2015  <b>Matsus Borough (dates TBD)</b> IMT Development, ICS 300; Finance Section Chief, Communications			<b>DHS&amp;EM</b> Statewide Preparedness Conference Alaska Shield 2016 Training SEOC Quarterly Training  <b>Community Requested T &amp; E</b> <b>Cordova</b> Mass Casualty Ferry FSE ICS 300/400 Training TBD IMT / Section Chief Training TBD Urban SAR Training TBD Cost Analysis Training TBD  <b>Fairbanks Borough</b> Monthly EOC Training ICS 300  <b>Fairbanks Hospital</b> Active Shooter (May) Fairbanks Hospital Evacuation ICU TBD  <b>North Pole</b> -Active Shooter Training and Exercise TBD 2015 Government Official Training - TBD 2015  <b>Kodiak</b> ICS 300/400 TBD  <b>Ketchikan</b> Red Cross Shelter Training Basic PIO  <b>Juneau</b> Unified Command Training Multi Agency Cruise Ship Exercise Urban SAR training 300/400			<b>DHS&amp;EM</b> Alaska Shield 2016 Training SEOC Quarterly Training Focus Area Exercise  <b>Community Requested T &amp; E</b> <b>Fairbanks Borough</b> Monthly EOC training  <b>Whittier</b> Elected Officials Training Position Specific Training Mass Inoculation Exercise  <b>Juneau</b> Red Cross Training Flood TTX  <b>Petersburg</b> Active Shooter Training and TTX Evacuation Exercise  <b>Fairbanks Borough</b> Debris Management Training and TTX  <b>Kodiak</b> Tsunami Awareness Training  <b>Anchorage</b> Tsunami Awareness Training  <b>Statewide Requested Position Specific Training</b>			<b>DHS&amp;EM</b> Statewide Preparedness Conference Alaska Shield 2016 Mid Planning SEOC Quarterly Training  <b>Community Requested T &amp; E</b> <b>Fairbanks Borough</b> Monthly EOC training  <b>Cordova</b> Debris Management Training October Cost Benefit Analysis Training  <b>Kodiak</b> Active Shooter November  <b>Fairbanks Borough</b> COOP/COG training  <b>Anchorage</b> Local HazMat Planning Post EQ Damage Assessment Training		

# Exercise Project Management

- \* Design and Development
- \* Conduct
- \* Evaluation
- \* Improvement Planning



# Design and Development

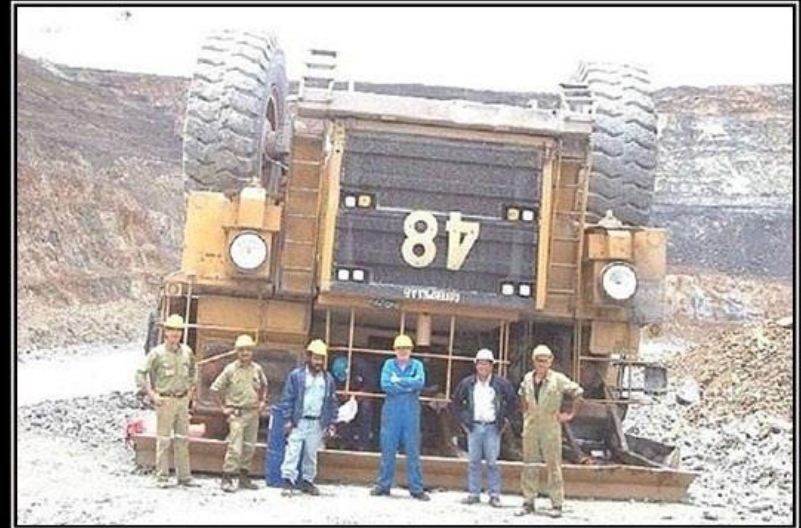
- \* Exercise Planning Team
- \* Exercise Planning Events
- \* Exercise Timeline
- \* Exercise Design
- \* Exercise Documentation





# Exercise Planning Team

- \* Determines exercise objectives.
- \* Creates the scenario.
- \* Develops exercise documentation.
- \* Conducts pre-exercise briefing and training sessions.
- \* Should be considered for exercise controller and evaluator positions.
- \* As a general rule, however, they do not participate as players.



TEAMWORK

Together, we can accomplish anything



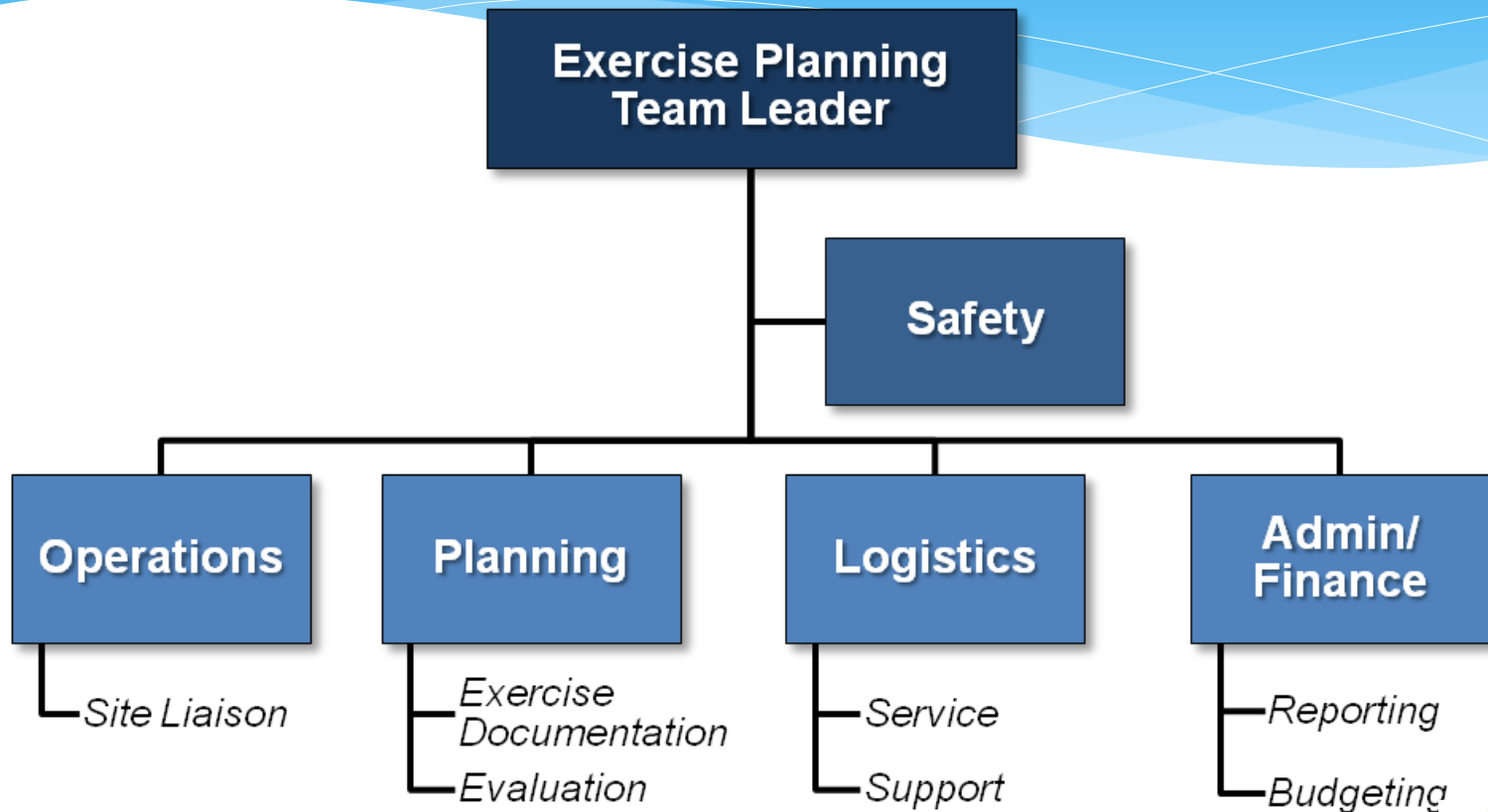


# Exercise Planning Team

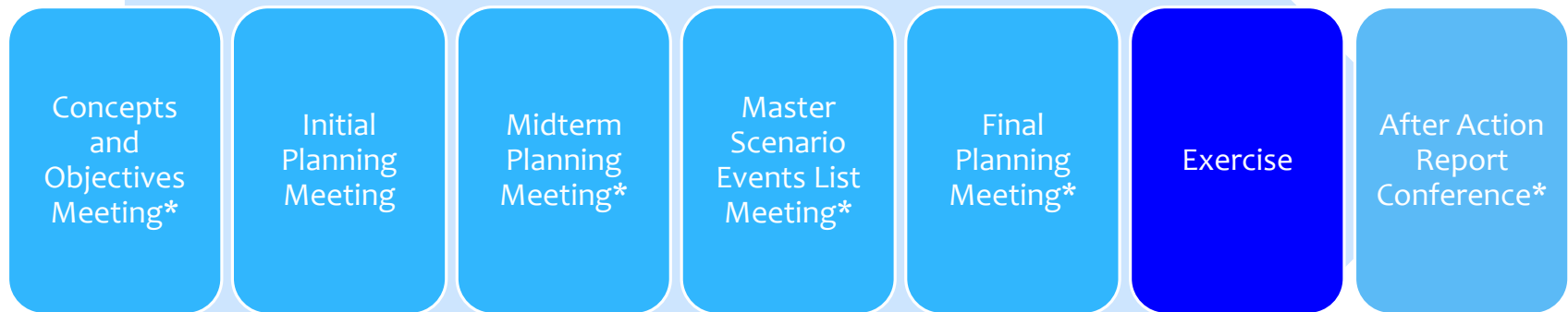
## Exercise Planning Team Leader



# Exercise Planning Team



# Exercise Planning Events



\* The scope, type, size, and complexity of the exercise determine the type and number of conferences the planning team decides to conduct.



# Concepts and Objectives Meeting



- \* Purpose: Identify scope and objectives for exercise.

**For less complex exercises and for organizations with limited resources, the C&O Meeting can be conducted in conjunction with the Initial Planning Meeting (IPM).**

- \* Outcomes
  - \* Scope
  - \* Objectives
  - \* Participation
  - \* ID exercise planning team members
  - \* Exercise planning timeline



# Initial Planning Meeting



- \* The beginning of the exercise development phase

**...an IPM should be conducted for all exercises.**

- \* Outcomes
  - \* Scope
  - \* Objectives,
  - \* Participant extent of play
  - \* Scenario
  - \* Assign tasking for exercise documentation, equipment and logistics



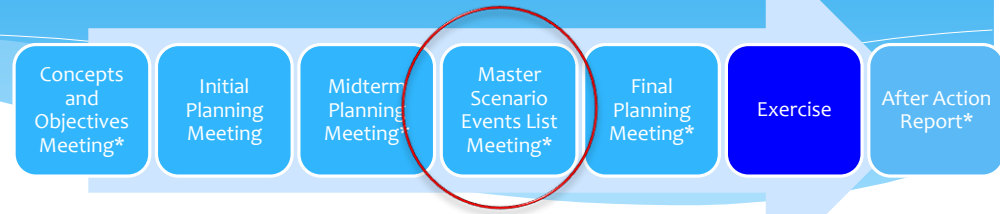
# Midterm Planning Meeting



- \* Meeting to discuss exercise organization and staffing concepts, scenario and timeline development, scheduling, logistics, and administrative requirements.
- \* Check in for:
  - \* Exercise documentation
  - \* Scenario timeline/injects
  - \* Site, equipment & participant logistics



# Master Scenario Events List Meeting



**For more complex exercises, one or more additional planning meetings—or MSEL Meetings—may be held to review the scenario timeline. If not held separately, topics typically covered in a separate MSEL Meeting can be incorporated into the MPM and FPM.**

- \* Outcome

- \* Key events and the time of their delivery are identified





# Final Planning Meeting



- \* Final forum for reviewing exercise processes and procedures

**An FPM should be conducted for all exercises to ensure that all elements of the exercise are ready for conduct.**

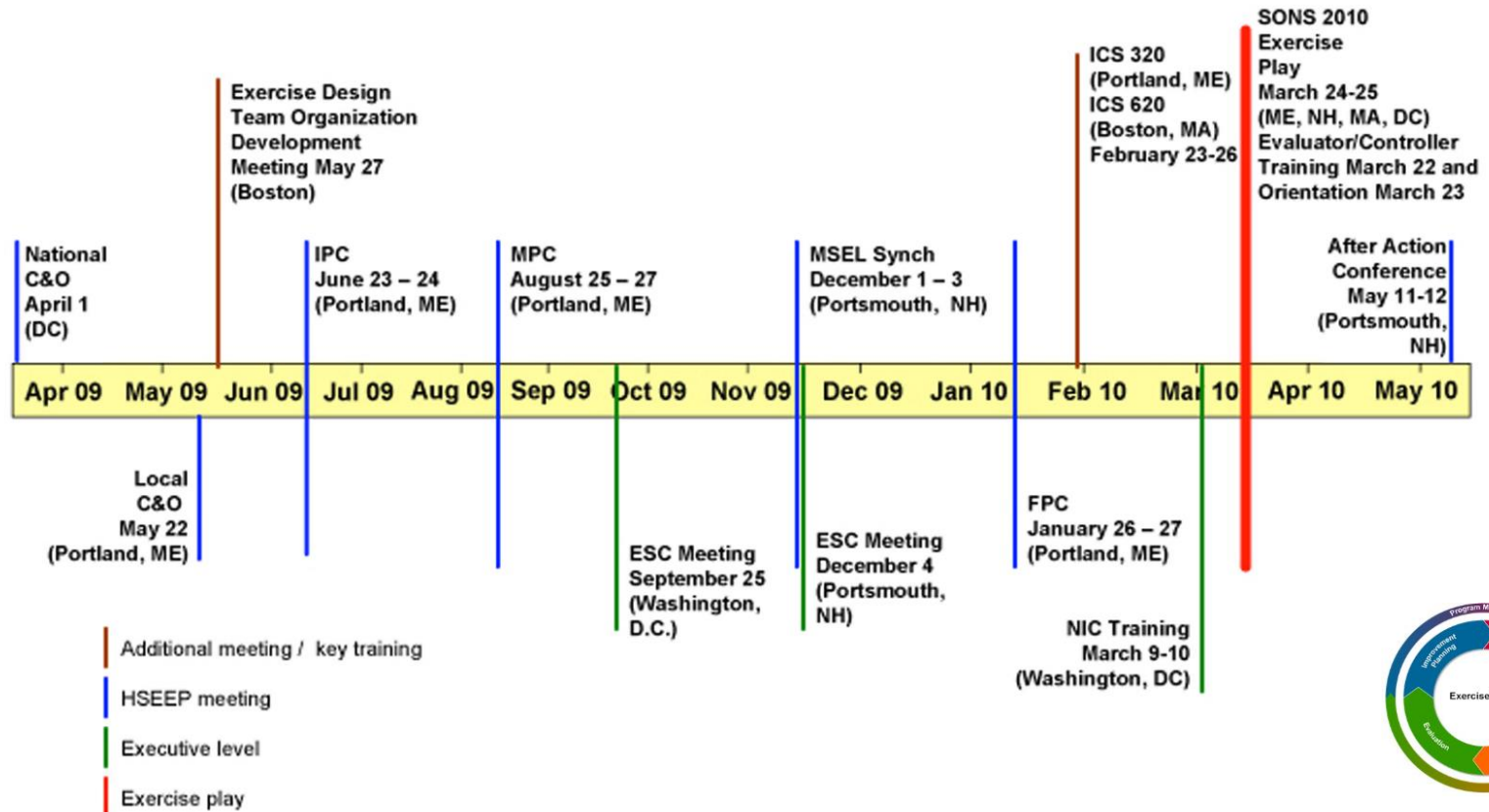
- \* Outcomes
  - \* Exercise documents and materials are approved
  - \* Last-minute issues are identified and resolved
  - \* Logistical elements are confirmed



# Mandatory Exercise Planning Events?

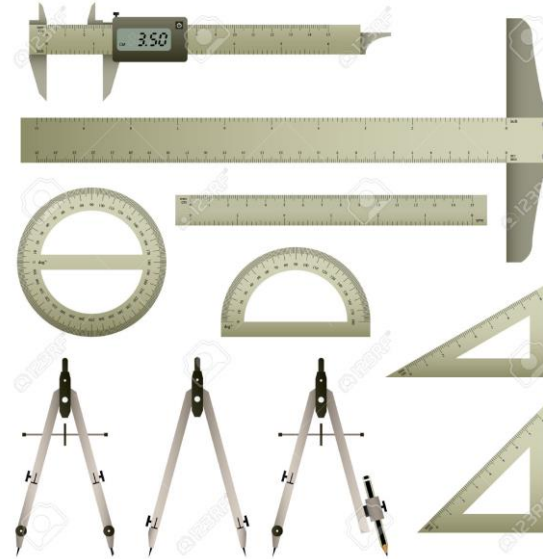


# Exercise Timeline



# Exercise Design

- \* Planning meetings facilitate the major steps of exercise design
  - \* Scope
  - \* Objectives
  - \* Scenario
  - \* Evaluation



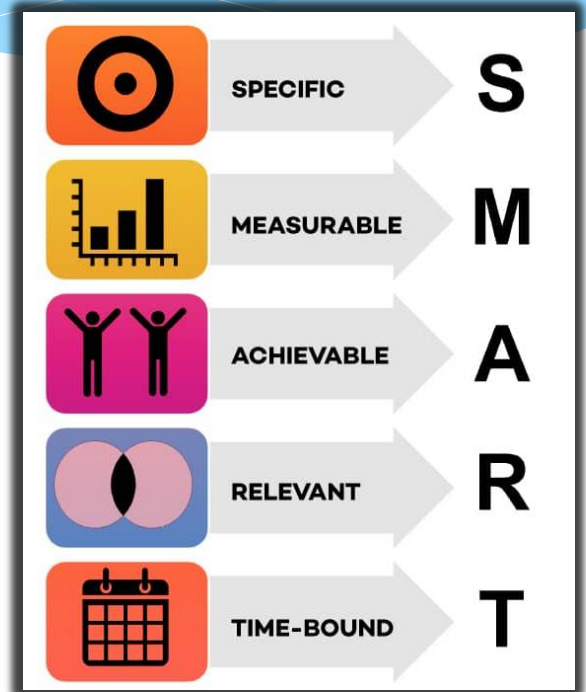
# Scope

- \* “Right-size” an exercise to meet objectives within constraints of resources (i.e. personnel, equipment, funding)
- \* Considerations
  - \* Exercise type
  - \* Participation level
  - \* Duration (hours/days/weeks)
  - \* Exercise parameters



# Objectives

- \* Define performance/actions expected from participants
- \* Defines conditions under which those actions will be performed
- \* Provide a framework for scenario development
- \* Provide exercise evaluation criteria





# Exercise Scenario

- \* Starting point that drives participants toward the exercise objectives
- \* Scenarios should be:
  - \* Threat-based
  - \* Realistic
  - \* Challenging
  - \* Facilitate evaluation of exercise objectives

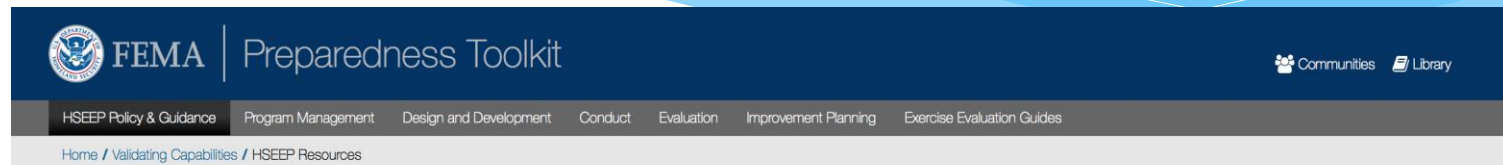


# Exercise Documentation

Document Title	Exercise Type	Distribution Audience
Situation Manual (SitMan)	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Facilitator Guide	Seminar (Optional), Workshop (Optional), TTX, Game	Facilitators
Multimedia Presentation	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Exercise Plan (ExPlan)	Drill, FE, FSE	Players and Observers
Controller and Evaluator (C/E) Handbook	Drill, FE, FSE	Controllers and Evaluators
Master Scenario Events List (MSEL)	Drill, FE, FSE, Complex TTX (Optional), Game (Optional)	Controllers, Evaluators, and Simulators
Extent of Play Agreement (XPA)	FE, FSE	Exercise Planning Team
Exercise Evaluation Guides (EEGs)	TTX, Game, Drill, FE, FSE	Evaluators
Participant Feedback Form	All Exercises	All Participants



# Documentation Templates



## HSEEP Policy and Guidance

The Homeland Security Exercise and Evaluation Program (HSEEP) doctrine consists of fundamental principles that frame a common approach to exercises. Applying these principles to both the management of an exercise program and the execution of individual exercises is critical to the effective examination of capabilities.

- Guided by elected and appointed officials
- Capability-based, objective driven
- Progressive planning approach
- Whole community integration
- Informed by risk
- Common methodology

Homeland Security Exercise and Evaluation Program (HSEEP) 2013

What's New and Different

Updated EEGs that reflect the changes in the National Preparedness Goal Second Edition September 2015 are now available- see below

Select a phase of the exercise cycle to view related HSEEP templates.



Download All HSEEP Templates (ZIP)



<https://preptoolkit.fema.gov/web/hseep-resources>

# Exercise Conduct

- \* Discussion-based exercises
  - \* Site setup
  - \* Guided presentation
  - \* Moderated/facilitated discussion
  - \* Wrap up activities (including hotwash)
  - \* Debrief of moderator, facilitator, evaluators



# Exercise Conduct

- \* Operations-based exercises
  - \* Site setup
  - \* Pre exercise controller/evaluator training (if necessary)
  - \* Pre exercise briefings (as necessary)
  - \* Exercise execution
  - \* Debrief of planners, controllers, evaluators as necessary
  - \* Wrap-up activities (hot wash)



# Exercise Control

- \* Maintain exercise scope, pace and integrity
- \* Elements of exercise control
  - \* Staffing
  - \* Structure
  - \* Training
  - \* Communications
  - \* Safety and security



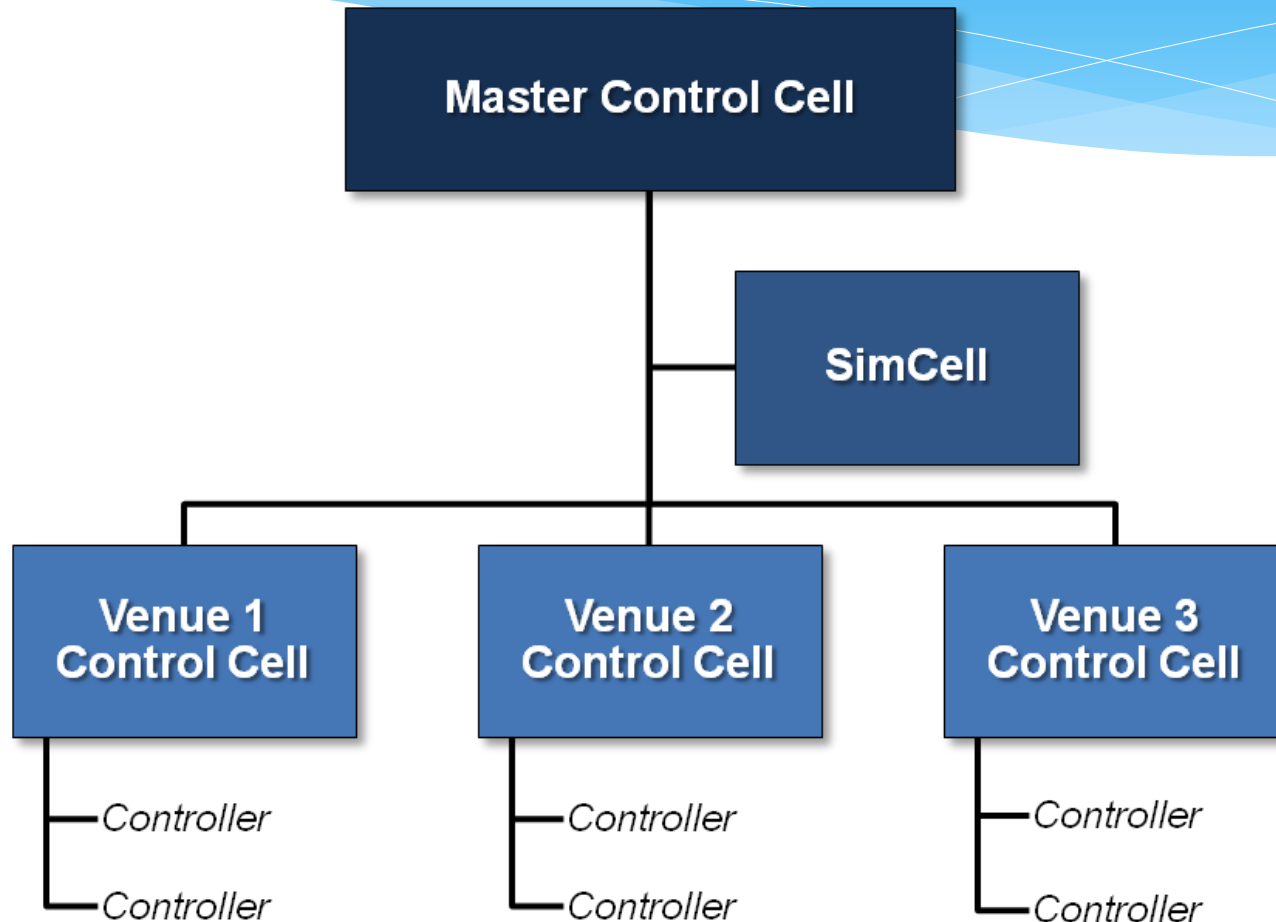


# Exercise Control Structure

## Master Control Cell



# Exercise Control Structure



# Evaluation

- \* Evaluator(s)
  - \* Measure actual performance against objectives
  - \* Identifies capability gaps and needed improvements
  - \* Capture best practices and accomplished performers
  - \* Use Exercise Evaluation Guide



# Exercise Evaluation Guide (EEG)

Evaluator \_\_\_\_\_

E-mail \_\_\_\_\_

Phone \_\_\_\_\_

## Ratings Definitions

P – Performed without Challenges  
S – Performed with Some Challenges  
M – Performed with Major Challenges  
U – Unable to be Performed

GRP: \_\_\_\_\_

Tactic: \_\_\_\_\_

Organizational Capability Target	Associated Critical Tasks	Target Rating	Observation Notes and Explanation of Rating
<b>Use of Response Equipment</b>	<ul style="list-style-type: none"> <li>Identify boom and sorbents</li> <li>Connect boom together</li> <li>Connect towing bridle to boom</li> <li>Connect components of anchor system together</li> </ul>		
<b>Basic Booming Operations</b>	<ul style="list-style-type: none"> <li>Transport and tow boom.</li> <li>Anchoring and Connecting boom to shore</li> <li>Safe vessel and crew operations. (Refer to ICS-208)</li> </ul>		
<b>Implement Tactics in GRP</b>	<ul style="list-style-type: none"> <li>Deploy Deflection Boom Tactic</li> </ul>		
<b>Create and Execute An Assignment List (ICS 204)</b>	<ul style="list-style-type: none"> <li>Fill out ICS 204</li> <li>Assignments in ICS 204 followed/ on-scene adjustments made.</li> <li>Participants demonstrate command and control of exercise</li> </ul>		
<b>Effectively Communicate Using VHF Equipment</b>	<ul style="list-style-type: none"> <li>Create Communications Plan</li> <li>Communicate with other participants using VHF equipment</li> </ul>		
<b>Final Exercise Rating</b>			

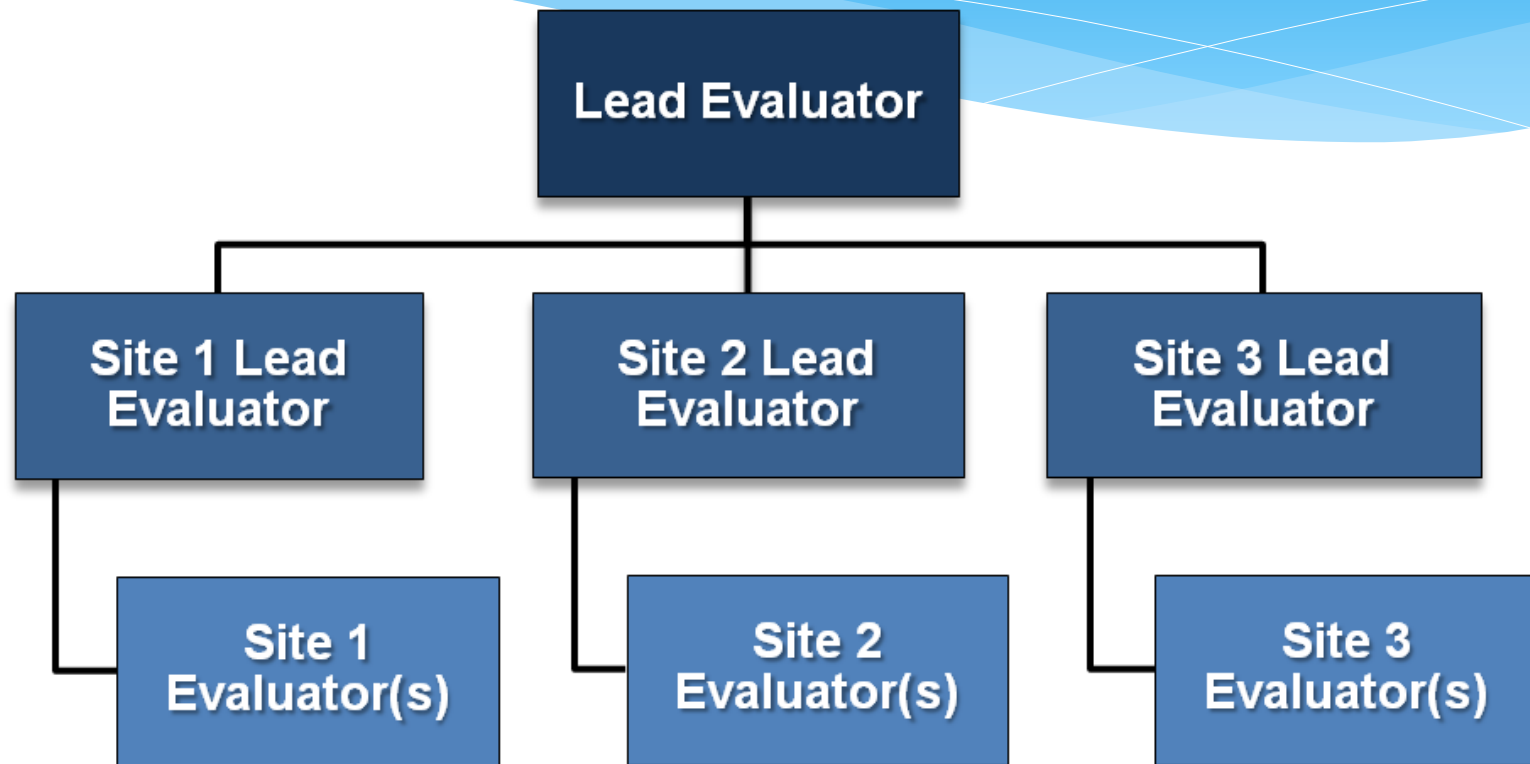


# Evaluation Team

Lead Evaluator



# Evaluation Team





# Grading Scale

- \* (P) - Performed without challenges
- \* (S) - Performed with some challenges
- \* (M) - Performed with major challenges
- \* (U) - Unable to perform



# Grading Scale



- \* (P) - Performed without challenges
  - \* Achieved objectives IAW plans/policies/procedures
  - \* No impact to other activities
  - \* No health/safety risks



# Grading Scale



- \* (S) - Performed with some challenges
- \* Achieved objectives
- \* Opportunities to enhance effectiveness or efficiency identified



# Grading Scale



- \* (M) - Performed with major challenges
  - \* Achieved objectives
  - \* Some or all of the following observed:
    - \* Negative impact to other activities
    - \* Health/safety risks
    - \* Not conducted IAW plans/policies/procedures





# Grading Scale



- \* (U) - Unable to perform
- \* Not able to meet the objective



# Best Practices





# After Action Report (AAR)

- \* Prepared after **every** exercise type
- \* Summarize what happened
- \* Provide feedback to participants on their performance
- \* Recommend improvements for better preparedness
- \* Identify best practices
  - \* Add to SOP if appropriate
- \* After Action Conference (for larger exercises)



# Improvement Planning

- \* Converting recommendations from AARs into improved response capabilities
- \* Improvement Plan
  - \* Actions to address AAR recommendations
  - \* Responsibility
  - \* Timeline for completion



# Improvement Plan

Core Capability	Issue/Area for Improvement	Corrective Action	Capability Element	Primary Responsible Organization	Organization POC	Start Date	Completion Date
Core Capability 1: Environmental Response/Health and Safety	1. Implement Tactics in GRP	Revise Marblehead Harbor GRP (NS-27) to include a recommended deployment strategy for DV-01a.	Planning	Nuka Research	Mike Popovich	10/15/16	9/1/16
Core Capability 1: Environmental Response/Health and Safety	2. Overview of Response Equipment	MER to replace the sledgehammers in Marblehead and Swampscott trailers with slide hammers.	Equipment	MER	John Duponte	12/15/16	12/15/16
Core Capability 1: Environmental Response/Health and Safety	3. Overview of Response Equipment	Add monkey fist or heaving lines to MassDEP trailer equipment inventory.	Equipment	MER	John Duponte	12/15/16	12/15/16
Core Capability 2: Operational Coordination	1. Participants demonstrate command and control of exercise	None.	N/A	N/A	N/A	N/A	N/A
Core Capability 3: Operational Communications	1. Communicate Using UHF/VHF equipment	Marblehead Town Dispatch should consider upgrading equipment capability to monitor VHF Channel 17.	Equipment	Town of Marblehead	N/A	N/A	N/A

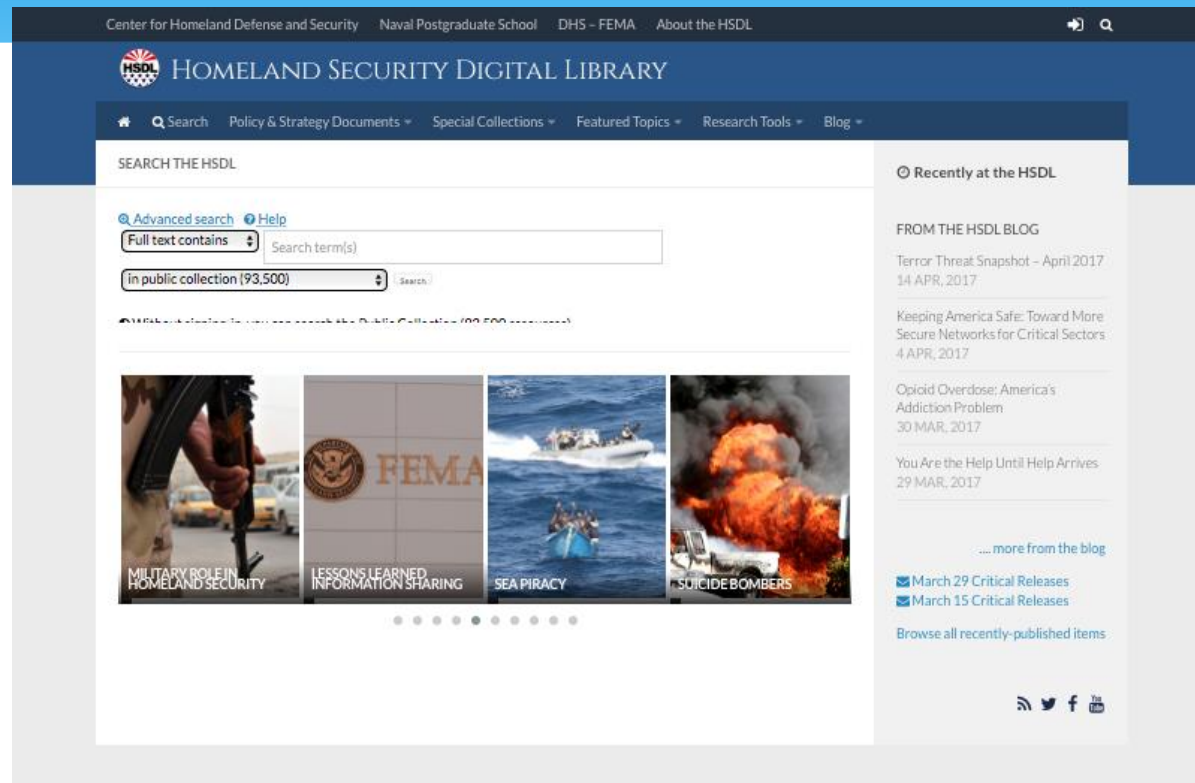


# Improvement Planning

- \* Program managers should be continually evaluating exercise lessons to:
  - \* Assess the adequacy of current training, plans and equipment.
  - \* Prepare for future training, plans and equipment.
  - \* Identify other resources needed to fill in capability gaps.



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<https://www.hSDL.org/>

# Improvement Planning

- \* Improvement Planning Workshop
  - \* Consolidate improvement plans from from previous year's AARs for exercises and real-world events
- \* Create Agenda for Training and Exercise Planning Workshop
- \* ... Wash, rinse, repeat





# Improvement Planning

**I think we learned something!**



# HSEEP Fundamentals

Questions?